SEP 1 0 2001

Substitute for Form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary.)
Sheet 1 of 2

Complete if Known						
Application Number	09/540,946					
Filing Date	March 31, 2000					
First Named Inventor	Carl M. Ellison					
Group Art Unit	2766					
Examiner Name	Unassigned					
Attorney Docket Number	042390.P8104					

#### **U.S. PATENT DOCUMENTS**

Exam.	Document				Sub-	Filing Date
Initials	Number	Date	Name	Class	class	(if appropriate)
MH 44/04	4,278,837	07/14/81	Best			
MH Gleloy	4,521,852	06/04/85	Guttag			_
MH GG19	5,022,077	06/04/91	Bealkowski et al.			
444401	5,293,424	03/08/94	Holtey et al.			
MAGGI	5,421,006	05/30/95	Jablon et al.			
MH 4409	5,473,692	12/05/95	Davis			REO
MH6/2/04	5,479,509	12/26/95	Ugon			LOEIVER
MH GLOR	5,568,552	10/22/96	Davis			RECEIVED
AH blelog	5,657,445	08/12/97	Pearce			LP 1 2 200
of H Leloy	5,729,760	03/17/98	Poisner		Tool	~ <001
146/4/14	5,796,845	08/18/98	Serikawa et al.		יכנוח	ology Center 210
MH 49-1	5,805,712	09/08/98	Davis			enter 210
44441	5,835,594	11/10/98	Albrecht et al.			7,00
146/4/29	5,844,986	12/01/98	Davis			
MH6/2/24	5,937,063	08/10/99	Davis			
MH 424-4	5,978,481	11/02/99	Ganesan et al.			
MH 6/2/04	6,014,745	01/11/00	Ashe			
MHG/z/og	6,058,478	05/02/00	Davis			
MH GLAY	6,158,546	12/12/00	Hanson et al.			
doct	6,175,925	01/16/01	Nardone et al.			
7744497	B1					

## FOREIGN PATENT DOCUMENTS

Exam.	Document				Sub-	Transl	
Initials	Number	Date	Country	Class	class	Yes	No
			<u> </u>				

Examiner Signature	1. M H.	 Date Considered	4/	2/0	Y
					<del></del>

**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

SEP 1 0 2001 55

stitute for Form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary.)
Sheet 2 of 2

Complete if Known						
Application Number	09/540,946					
Filing Date	March 31, 2000					
First Named Inventor	Carl M. Ellison					
Group Art Unit	2766					
Examiner Name	Unassigned					
Attorney Docket Number	042390.P8104					

#### U.S. PATENT DOCUMENTS

Exam.	Document		5. TATENT DOCUMENTS		Sub-	Filing Date
Initials	Number	Date	Name	Class	class	(if appropriate)
AH 6/2/04	6,178,509	01/23/01	Nardone et al.			
Affeleloy	6,205,550 B1	03/20/01	Nardone et al.			
MH 6/4/24	6,282,651	08/28/01	Ashe			
AH olela	6,282,657 B1	08/28/01	Kaplan et al.			RECEIVED
/						-CEIVED
						EP 1 2 200
					Techno	Dlogue
						Nogy Center 2100
					,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	

#### FOREIGN PATENT DOCUMENTS

Exam. Initials	Document Number	Date	Country	Class	Sub- class	Transl Yes	ation No
	<u> L</u>						

Examiner Signature	on of	-J L	Date Considered	С	/2	/. ·	1		
		•			•	,			

**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

#### Complete if Known Substitute for Form 1449A/PTO (Modified) Application Number 09/540,946 INFORMATION DISCLOSURE Filing Date March 31, 2000 STATEMENT BY APPLICANT First Named Inventor: Carl M. Ellison a many sheets as necessary) Group Art Unit 2766 **Examiner Name** Unassigned Attorney Docket Number 42P8104 42P8104 2 **Sheet** U.S. PATENT DOCUMENTS Date of Publication Pages, Columns, Name of Patentee or Applicant Cite U.S. Pak Document Exam. Lines. Where Relevant of Cited Document of Cited Document Initial\* No. Kind Code<sup>2</sup> (If MM-DD-YYYY Passages or Relevant Numbe Figures Appear known) 12/28/82 Heller, et al. 4,366,537 12/24/91 5,075,842 Lai 10/19/93 Melo 5,255,379 10/17/95 5,459,869 Spilo 03/25/97 Takahashi 5,615,263 07/19/2777 Birney, et al. 4,307,214 02/10/98 Bonola 5,717,903 06/09/98 Kahle, et al. 5,764,969 03/30/99 5,890,189 Nozue, et al. 11/16/99 5,987,557 **Ebrahim** 11/01/01 Metlitski, et al. US2001003745

			FOREIGN PATENT DOCUMEN	TS		<u>,                                     </u>
	Cite No. <sup>1</sup>	Foreign Patent Document  Office <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (If known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		EP0000112	Seimens Nixdorf Not IN Information Systeme FALLISH	08/06/94		
AH 42/04		WO9844402	PCT	10/08/98		
MH Ghelor		WO9905600	PCT	02/04/99		
191 (1995) Suchsu		WO9909482	Seimens Nixdorf InformationSysteme	02/25/99		
14. 1.6		WO9957863	PCT	11/11/99		
Buch	<u> </u>	WQ0062232	PCT	10/19/00		
An Gefor		EP1146715	European Patent Application	10/17/01		

Examiner Signature Date Considered 6/2/34

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

	9)	• •	APR 0 9 2002	٦\ <u>س</u>		7
Substitute f	or Form 14	49A/PTO (Modified)	1	Compl	ete if Known	1
		TION DISCL	OMBE	Application Number	09/540,946	┨
				Filing Date	March 31, 2000	4
STA		NT BY APP		First Named Inventor:	Carl M. Ellison	
	(use as	many sheets as necessa	ary)	Group Art Unit	2766 <b>ECANO</b>	1
				Examiner Name	Unassigned 200	Я
Sheet	2	42P8101	2	Attorney Docket Number	42P8104	$\frac{1}{2}$
		OTHER A	ART - NO PATEN	T LITERATURE DOCUMEN		4
Examiner Initials*	Cite No <sup>1</sup>	item (book, ma	gazine, journal, seria number(s), publis	L LETTERS), title of the article (val, symposium, catalog, etc.), dat her, city and/or country where pu	te, page(s), volume-issue ublished	
AH 44	4	J. HEINRICH: "M VIEW, XP0021844	IPS R4000 Microp 149, pp. 61-97.	rocessor User's Manual," Apr	il 1, 1993, MIPS, MT.	
						-
						$\dashv$
						-
	+					
•						_

Examiner AM H	Date Considered	6/2/04	
Signature	Considered		-

<sup>\*</sup>Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

W.	7
	ν

Substit	ute for F	orm 1449A/PT	O (Modified)			Comple	te if Known	
IN	FOR	MATION	DISCI	.OSURE	Application Number		09/540,946	DECEME
-		J.P.E	)		Filing Date		3/31/00	
S	TATE	MENTE	K APP	LICANT	First Named Inventor: Ellison, et.		1. JUN 2 4 2002	
	(0	se as many shee	on 1	ary)	Group Art Unit		2766	
		JUN 1 8 20	NV 25		Examiner Name		Unassigned.	echnology Center 2
Sheet	1	133	<b>1</b>	2	Attorney Docket Number	er -	042390.P81	
		A TRADEN	ARIT	U.S. PATE	NT DOCUMENTS			
Exam. Initial*	Cite No.1	U.S. Patent [	Document		tentee or Applicant d Document		Publication of	Pages, Columns, Lines, Where Relevant
iniuai	INO.	Number Code <sup>2</sup>	Kind (If known)	of Cite	ed Document		Document DD-YYYY	Passages or Relevant Figures Appear
-1								
			<u> </u>					
						· · · · · · · · · · · · · · · · · · ·		
			-					

Exam. Initial*	Cite No. <sup>1</sup>	Fore Office <sup>3</sup>	eign Patent Document Number⁴ Kind Co (If kno	ode <sup>5</sup>	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
AHHA	y		EP0930567A		Texas Instruments, Inc.	7/21/99		
44.44	f		WO9834365A		AT&T Corporation	8/6/98		
								<del>                                     </del>

Examiner	1. 1	Date Considered	. /	/ .
Signature	M. FR. H.	 	4/	704

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Substitute fo	r Form 1	449A/PTO (Modified)	. — .	Comple	ete if Known	
INFO	RMA	TION DISCLO	SURE	Application Number	09/540,946 REC	FILLER
	$\sim$ 1 P			Filing Date	3/31/00	
STA	l CIVII	ENT BY APPLI s many neets as necessary)	CANT	First Named Inventor:	Ellison, et. al. JUN 2	4 200
	JUN 1 8	2002		Group Art Unit	2766 Technology	<del></del>
\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\				Examiner Name	Unassigned "COIII Ology	Center 21(
Sheet N	TRADE	042390.P8104	2	Attorney Docket Number	042390.P8108	
	MADE	OTHER ART	Γ − NO PATENT	LITERATURE DOCUMENT	<u> </u>	
Examiner Initials*	Cite No <sup>1</sup>	item (book, magazi	ne, journal, serial,	ETTERS), title of the article (wh symposium, catalog, etc.), date, r, city and/or country where publ	, page(s), volume-issue	T <sup>2</sup>
· At 6/4/19			•	OTOROLA INC., page 1-5 – p 1, page 8-9-page 8-11	page 1-9, page 1-13-	
AH 4/4/14				32-BIT CHMOS MICROPRO NT", 12/31/95, INTEL INC.,		
Malely		JOE HEINRICH:"MIPS TECHNOLOGY INC.,		PROCESSOR USER'S MAN W, CA, pages 67-79	UAL", 1994, MIPS	
<b>બુલ હ</b> િટ / અ				NED APPLET?", DR. DOBB'S L. 22, NO. 8, 8 '97, page 109		
AHG1/24		SECURITY ARCHITE	CTURE IN THE . SIUM ON INTER	E SANDBOX: AN OVERVIE JAVA DEVELOPMENT KIT 1 RNET TECHNOLOGIES AND	1.2", PROCEEDINGS OF	
		-				
	L				<u></u>	الـــــــــــــــــــــــــــــــــــــ

Examiner Signature	M. M.	4	Date Considered	4/2	104	_
	/			•		

<sup>\*</sup>Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

#9

Substit	ute for F	orm 1449A/P	TO (Modifie	ed)		Comple	te if Known	
INI	FOR	MATION	I DISC	CLOSURE	Application Number		09/540,946	
STATEMENT BY APPLICANT					Filing Date		March 31, 2	000
i S'	TA)TE	MENT	BY AP	PLICANT	First Named Inventor:		Carl M. Elli	son
(use as many sheets as necessary)			essary)	Group Art Unit		2766		
1				i	Examiner Name		Unassigned	
Sheet	1		of	2	Attorney Docket Number	er	042390P810	)4
& TRAUS				U.S. PAT	ENT DOCUMENTS			
Exam. Initial*				Patentee or Applicant lited Document	Date of Publication of Cited Document		Pages, Columns, Lines Where Relevant	
muai	No.¹	Number	Kind		aleu Document		Document DD-YYYY	Passages or Relevant

				U.S. PATENT DOCUMENTS		
Exam. Initial*	Cite No.1	U.S. Patent	Document	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document	Pages, Columns, Lines, Where Relevant
IIIIIai	NO.	Number	Kind	or Cited Document	MM-DD-YYYY	Passages or Relevant
		Code <sup>2</sup>	(If known)			Figures Appear
MAGUA	_	4,571,672		Hatada, et al.	02/18/1986	
मिर्यान्य		5,455,909		Blomgren, et al.	10/03/1995	
14444		5,953,502	Α	Helbig, Sr.	09/14/1999	
AH Glafey		6,101,584		Satou, et al	08/08/2000	
						ECEIVED
					l l	CCLIVED
		<del> </del>			- N	OV 2 6 2002
+					70	90 % 3 6006
			ļ		Techr	ology Center 2100
		ļ	<del> </del>		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	J. J
<del></del>						
			<del>                                     </del>		<del>-</del>	
			1			
+			<del> </del>			
			<del> </del>			
		1				

Exam. Initial*	Cite No. <sup>1</sup>	Fo Office	reign Patent Document  Number Kind Coc (If know		t Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
र्गुभ दीर्यन्त्र			EP 1 030 237 A	Hewlett Packard	08/23/2000		
		-					<u> </u>
		3					

Examiner Signature	in Hac	Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

the q

Complete if Known

INFO	RMAT	ION DISCLO	OSURE	Application Number	09/540,946		
11 (2)				Filing Date	March 31, 2000		
		IT BY APPL		First Named Inventor:	Carl M. Ellison		
W 2 2 20002 E	(use as m	any sheets as necessar	<b>y)</b> ·	Group Art Unit	2766		
(2)				Examiner Name	Unassigned		
Sheet 3/2	<u> </u>	of	2	Attorney Docket Number	042390P8104		
PADEMA		OTHER AF	RT – NO PATENT	LITERATURE DOCUMENTS	3		
Examiner Initials*	Cite I	item (book, maga	zine, journal, serial,	ETTERS), title of the article (wh symposium, catalog, etc.), date, r, city and/or country where publ	page(s), volume-issue		
र्मम जीपी-प	GOLDBERG, R., "Survey of virtual machine research," IEEE Computer Magazine 7(6), pp. 34-45, 1974.						
र्मा प्रिंग	GUM, P.H., "System/370 Extended Architecture: Facilities for Virtual Machines," IBM J. Research Development, Vol 27, Number 6, pp. 530-544, November 1983						
AH GLY-4		ROSENBLUM, M. "Vmware's Virtual Platform: A Virtual Machine Monitor for Commodity PCs," Proceedings of the 11th Hotchips Conference, pp. 185-196, August 1999.					
146/2/24	LAWTON, K., "Running Multiple Operating Systems Concurrently on an IA32 PC Using Virtualization Techniques," http://www.plex86.org/research/paper.txt; 11/29/1999; pp. 1-31.						
					RECEIVED		
					MOA 5 6 5005		
					Technology Center 2100		
			,				
				* **** *** ****			
Examiner	-			Date			

Substitute for Form 1449A/PTO (Modified)

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.





# Protecting Software Environment in Isolated Execution

Application:

**RECEIVED** 

APR 3 0 2003

Confirmation: 3228

. . . . .

Applicant(s): Carl Ellison

Docket

042390.P8104

Technology Center 2100

Number:

Group Art

2766

Unit: Examiner:

Unassigned

( 4037214 or 5079737 or 5386552 or 5628022 or 5737760 or 5757919 or 5852717 or 5872994

or 6055637 or 6085296 or 6125430 or 6148379 or 6192455 or 6249872 or 6272533 or 6292874

search string:

or 6301646 or 6321314 or 6339815 or 6339816 or 6499123 or 6505279 or 20010021969 or

20010027527 ).pn.

## **US Patent Documents**

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

llinitl	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
M	P01	4037214	1977-07- 19	1200  120  120  100  100  100  100  10	Birney, et al.	711	206
14	P02	5079737	1992-01- 07	1800   1806   1800   1800   1800   1800   1800   1800   1800   1800   1800   1800   1800   1800   1800   1800	Hackbarth	711	164
MH	P03	5386552	1995-01- 31	1807001 01100 11100 1100 0100 0100 0100	Garney	714	10
ЛH	P04	5628022	1997-05- 06	1 (1910) 11(2) 1(2) 1(3) 1(0) 1(0) 1(0) 1(0) 1(0)	Ueno, et al.	712	- 37
$\Box$							

	••)					
NH	P05	5737760	1998-04- 07	1 (110) (10) (10) (10) (10) (10) (10) (1	Grimmer, Jr., et al.	711/163
dH	P06	5757919	1998-05- 26		Herbert, et al.	713/187
MH	P07	5852717	1998-12- 22	111400 01114110140114110111101111111111	Bhide, et al.	709/203
44	P08	5872994	1999-02- 16		Akiyama, et al.	712/43
MH	P09	6055637	2000-04- 25	110000000000000000000000000000000000000	Hudson, et al.	713/201
14	P10	6085296	2000-07-		Karkhanis, et al.	711/147
MH	Pll	6125430	2000-09-		Noel, et al.	711/152
dH	P12	6148379	2000-11- 14	)	Schimmel	711/152
MA	P13	6192455	2001-02-	11122 111111111111111111111111111111111	Bogin, et al.	711/154
MH	P14	6249872	2001-06- 19		Wildgrube, et al.	713/200
MH	P15	6272533	2001-08- 07		Browne	709/213
MH	P16	6292874	2001-09- 18	1888 818 818 818 818 818 818 818 818 81	Barnett	711/153
МН	P17	6301646	2001-10- 09		Hostetter	711/206
MH	P18	6321314	2001-11- 20		Van Dyke	711/163
1/14	P19	6339815	2002-01- 15	111001 11110 11110 11110 11110 11110 11110 11110	Feng, et al.	711/163
14	P20	6339816	2002-01- 15		Bausch	711/163
MH	P21	6499123	2002-12- 24	110050 0181 0181 0180 180 180 180 180 180 1	McFarland, et al.	711/163 714/724 711/163
MH	P22	6505279	2003-01- 07		Phillips, et al.	711/163

## **Published Applications**

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

llinit	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
MH	U01	20010021969	2001- 09-13		Burger, et al.	711	is7
MH	U02	20010027527	2001- 10-04	14184 1001 1410 1410 1410 1410 1410 141	Khidekel, et al.	713	201

## Remarks

(Remarks are not for responding to an office action.)

Applicants, in accordance with their duty of disclosure under 37 CFR 1.56 and in accordance with 37 CFR 1.97(b)(3), hereby submit this Electronic Information Disclosure Statement citing U.S. Patent Documents for consideration by the Examiner. Pursuant to 37 CFR 1.97, the submission of this Electronic Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability. This Electronic Information Disclosure Statement is being filed prior to a substantive examination of the claims. Pursuant to 37 CFR 1.97(b), no fee should be required for the filing of this Electronic Information Disclosure Statement. In the event it is determined that a fee is due, please charge the fee to Deposit Account 02–2666. Applicants respectfully request that the cited documents be considered and that the form be initialed by the Examiner to indicate such consideration and a copy thereof be returned to Applicants' attorney of record.

## **Signature**

Examiner Name	Date
of the	6/2/04

×	11
---	----

Substitute	£_r	Form	14404	/PTO	(Modified)
Substitute	tor	rorm	1449A	VP 1 U	(Ivioailiea

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(dise as many sheets as necessary)

APR 2 9 2003

Sheet

of

Complete if Known					
Application Number	09/540,946				
Filing Date	3/31/2000				
First Named Inventor:	Ellison, et al.				
Group Art Unit	2766				
Examiner Name	Unassigned				
Attorney Docket Number	042390.P8104	_			

MARK			<b>U.S. PATENT DOCUMENTS</b>	_	_
Cite	U.S. Pater	nt Document	Name of Patentee or Applicant	Date of Publication of Cited Document	Pages, Columns, Lines, Where Relevant
140.	Number Code <sup>2</sup>	Kind (If known)	or oned podement	MM-DD-YYYY	Passages or Relevant Figures Appear
					EIVED
	-			וחבע	
				YAM	0 1 2003
				Technol	ogy Center 2100
	Cite No.1	No. <sup>1</sup> Number Code <sup>2</sup>	No.1 Number Kind (If known)	Cite No.1 U.S. Patent Document Name of Patentee or Applicant of Cited Document  Number Kind (If known)  Number Code <sup>2</sup> (If known)  Name of Patentee or Applicant of Cited Document	Cite No.1  U.S. Patent Document Number Kind (If known)  Name of Patentee or Applicant of Cited Document NMM-DD-YYYY  NAME of Patentee or Applicant of Cited Document NMM-DD-YYYYY  NAME of Patentee or Applicant of Cite

Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document  Office <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (If known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T⁵
नेस ६/५५५		WO 97/29567	Gressel			
dH 6/4/4		WO 01/75565	Ellison			
4H 6/404		WO 01/75595	Ellison			
AH Gleloy		WO 01/27723A	Pearson			
MH 4/2/24		WO 01/27821A	Pearson			

Examiner Signature	S.M. H.	~ C	Date Considered	6/4/04

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation désignation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

	ഹ	ı
	V۷	į
w		
м.		

Substitute for Form 1449A/PTO (Modified)				Complete if Known				
INI	FOR	MATION	LDISCI	OSURE	Application Number		09/540,946	
					Filing Date		3/31/2000	
STATEMENT BY APPLICANT  (See as many streets as necessary)			First Named Inventor:		Ellison, et a	l		
			Group Art Unit		2766			
		AUS 2 2 2000	(بن		Examiner Name		Unassigned	
Sheet	A		Eof	2	Attorney Docket Number	er	042390.P81	04
	· /	Control of the contro	\$/	U.S. PATE	NT DOCUMENTS			
Exam. Initial*	Cite No. <sup>1</sup>	Number Code <sup>2</sup>	Kind (If known)	Name of Par	tentee or Applicant ed Document	Cited	Publication of Document DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
				ļ		_		
							—RĒ	CEIVED
							<i> </i>	NUG 2 7 2003
							Techn	ology Center 2100
_								
		<del> </del>						
			_		······································			
							•	
							•	
								100
					•			<u> </u>

Exa m. Initi al*	Cite No. <sup>1</sup>	Foreign Patent Documer  Office <sup>3</sup> Number <sup>4</sup> Kind C  (If known	ode <sup>5</sup>	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	. <b>T</b> ⁰
1444	,	WO 02 17555	Α	Verisign, Inc.	02/28/2002		
Melda		WO 01 75564	Α	Intel Corporation	10/11/2001		
A4,6/204		WO 02 086684	Α	Hewlett Packard	10/31/2002		
MHGUM		JP02000076139	Α	Nippon	03/14/2000		
/							<del> </del>
							-

Examiner		Date Considered	.//
Signature	Mith 7-	7	6/2/04

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Assistant Commissioner for Patents, Washington, DC 20231.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached. Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual

	· · · · · · · · · · · · · · · · · · ·		
Substitute for Form 1449A/PTO (Modified)			ete if Known
INFORMAT	TION DISCLOSURE	Application Number	09/540,946
		Filing Date	3/31/2000
	NE BY APPLICANT	First Named Inventor:	Ellison, et al.
O Vas n	nany specis as necessary)	Group Art Unit	2766
	, 70 <sup>13</sup> Ell	Examiner Name	Unassigned
Sheet 2 Mile 1	ref 2	Attorney Docket Number	042390.P8104
Gy.	OTHER ART - NO PATE	NT LITERATURE DOCUMEN	тѕ
Examiner Cite No1	item (book, magazine, journal, se number(s), publi	rial, symposium, catalog, etc.), da sher, city and/or country where pu	te, page(s), volume-issue ublished
AH ofefor	"Information Display Technique for Disclosure Bulletin, TDB-ACC-No.	NA9112156, 12/1/91, pp. 156-	158, Vol. 34, Issue No. 7A
MH 6/2/24 MH 6/2/24	KARGER, PAUL A., et al., "A VMM of the Symposium on Research in ISBN: 0-8186-2060-9, Boxborough	Security and Privacy, 5/7/1990 , MA.	, pp. 2-19, XP010020182,
MA Glefo4	CHIEN, ANDREW A., et al., "Safe Reconfigurable Processor," 7th An 4/21/1999, pp. 209-221, XP010359	nual IEEE Symposium, FCCM	'99 Proceedings
	·		חבסבו/יבס
			RECEIVED
			AUG 2 7 2003
			Technology Center 2100
			7 ,
Evaminer /		Date	· / /

Considered

Signature \*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.





## **ELECTRONIC INFORMATION DISCLOSURE STATEMENT**

Electronic Version v18 Stylesheet Version v18.0

> Title of Invention

Protecting Software Environment in Isolated Execution

**Application Number:** 

09/540946

RECEIVED

Confirmation Number:

3228

AUG 2 6 2003

Carl Ellison First Named Applicant:

Attorney Docket Number: 42P08104

**GROUP 3600** 

Art Unit:

2766

Examiner:

**Unknown Unknown** 

Search string:

( 4247905 or 4347565 or 5319760 or 5437033 or 5511217 or 5522075 or 5737604 or 5854913

or 6075938 or 6182089 or 6272637 or 6314409

or 6374317 or 6397242 ).pn.

## **US Patent Documents**

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
1/1	1	4247905	1981-01-27	Yoshida, Yukihiro , et al.			
14	2	4347565	1982-08-31	Kaneda, Saburo , et al.			
MH	3	5319760	1994-06-07	Mason, Andrew H., et al.			
14	4	5437033	1995-07-25	Inoue, Taro , et al.			
M	5	5511217	1996-04-23	Nakajima, Atsushi , et al.			
MH	6	5522075	1996-05-28	Robinson, Paul T., et al.			
MH	7	5737604	1998-04-07	Miller, David A., et al.			
MH	8	5854913	1998-12-29	Goetz, John W., et al.			
MH	9	6075938	2000-06-13	Bugnion, Edouard , et al.			
MH	10	6182089	2001-01-30	Ganapathy, Narayanan , et al.			
MH	11	6272637	2001-08-07	Little, Wendell L., et al.			
1/1	12	6314409	2001-11-06	Schneck, Paul B., et al.			
1	13	6374317	2002-04-16	Ajanovic, Jasmin , et al.			
14	14	6397242	2002-05-28	Devine, Scott W., et al.			

### Remarks

Note: Remarks are not for responding to an office action.

Applicants, in accordance with their duty of disclosure under 37 CFR 1.56 and in accordance with 37 CFR 1.97(b)(3), hereby submit this Electronic Information Disclosure Statement citing U.S. Patent Documents for consideration by the Examiner. Pursuant to 37 CFR 1.97, the submission of this Electronic Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability. This Electronic Information Disclosure Statement is being filed prior to a substantive examination of the claims. Pursuant to 37 CFR 1.97(b), no fee should be required for the filing of this Electronic Information Disclosure Statement. In the event it is determined that a fee is due, please charge the fee to Deposit Account 02-2666. Applicants respectfully request that the cited documents be considered and that the form be initialed by the Examiner to indicate such consideration and a copy thereof be returned to Applicants' attorney of record.

## Signature

, Examiner Name	Date		
Mitt Hanc	6/2/04		

. - X W

PTO/SE/08A(10-01)
Approved for use through 10/31/2002, OMB 651-0031
Patent & Tredemark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT
(Use as man Greets as recessary)

Complete if Known

Application Number

Filing Date

First Named Inventor

Group Art Unit

2766

Examiner Name

Unassigned

Attorney Docket No: 42P08104

US PATENT DOCUMENTS							
Examiner Initial	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate	

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Foreign Document No	Publication Date	Publication Date Name of Patentee or Applicant of cited Document		Subclass	T <sup>2</sup>	
	DE-DE4217444	12/03/1992	Toyohisa, Imada, et al.				
	EP-EP0473913	03/11/1992	Farrell, Joel A.			abs	

	OTHE	R DOCUMENTS NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
र्मा विद्विप		BRANDS, STEFAN, "Restrictive Blinding of Secret-Key Certificates", SPRINGER-VERLAG XP002201306, (1995), Chapter 3	
MH 4/2/24		DAVIDA, GEORGE I., et al., "Defending Systems Against Viruses through Cryptographic Authentication", <u>Proceedings of the Symposium on Security and Privacy</u> , IEEE Comp. Soc. Press, ISBN 0-8186-1939-2,(May 1989)	
146/404		KASHIWAGI, KAZUHIKO, et al., "Design and Implementation of Dynamically Reconstructing System Software", Software Engineering Conference, Proceedings 1996 Asia-Pacific Seoul, South Korea 4-7 Dec. 1996, Los Alamitos, CA USA, IEEE Comput. Soc, US, ISBN 0-8186-7638-8,(1996)	
MH6/2/04		LUKE, JAHN, et al., "Replacement Strategy for Aging Avionics Computers", IEEE AES Systems Magazine, XP002190614, (March 1999)	
AH 6/2/04		MENEZES, OORSCHOT, "Handbook of Applied Cryptography", CRC Press LLC, USA XP002201307, (1997),475	
		RICHT, STEFAN, et al., "In-Circuit-Emulator Wird Echtzeittauglich", Elektronic, Franzis Verlag GMBH, Munchen, DE, Vol. 40, No. 16, XP000259620,(100-103),8-6-1991 NOT IN ENGLISH	
<i>जी</i> म दीर्युव्य		SAEZ, SERGIO, et al., "A Hardware Scheduler for Complex Real-Time Systems", Proceedings of the IEEE International Symposium on Industrial Electronics, XP002190615,(July 1999),43-48	
MH6/2/04		SHERWOOD, TIMOTHY, et al., "Patchable Instruction ROM Architecture",  Department of Computer Science and Engineering, University of California, San  Diego, La Jolla, CA, (Nov. 2001)	, ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,
·		RECEI	٧E

DEC 1 8 2003

Technology Center 2100

EXAMINER	M.HL	4-	DATE CONSIDERED	6/2/04